

<p align="center">U.S. DEPARTMENT OF ENERGY</p> <p align="center">NATIONAL TRANSPORTATION PROGRAM - ALBUQUERQUE</p> <p align="center">Motor Carrier Evaluation Program (MCEP)</p> <p align="center">Standard Operating Procedure 001</p>			
<p align="center">Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening</p>			
<p>Procedure No:</p> <p align="center">NTP-A-MCEP.001</p>	<p>Revision No:</p> <p align="center">8</p>	<p>Date:</p> <p align="center">November 2004</p>	<p>Page:</p> <p align="center">Page 1 of 24</p>

1. PURPOSE

This procedure specifies a consistent approach to performing Stage 1 Initial Carrier Screening activities in compliance with the requirements identified in the Motor Carrier Evaluation Program (MCEP) Management and Methodology Plans.

This procedure applies to the U.S. Department of Energy's (DOE) National Transportation Program–Albuquerque (NTP–A) and/or Contractor Program Lead performing initial carrier screening activities as identified in the MCEP Management and Methodology Plans.

2. REQUIREMENTS, REFERENCES, ACRONYMS, AND DEFINITIONS

2.1 Requirements

- a. National Transportation Program *Motor Carrier Evaluation Program (MCEP) Management Plan Revision 8*.
- b. DOE Order 460.2, Change 1, “Departmental Materials Transportation and Packaging Management,” October 26, 1995.
- c. DOE Order 460.2, Change 1, “Contractor Requirements Document,” October 26, 1995.
- d. DOE G-460.2-1, “Implementation Guide for Use with DOE Order 460.2,” November 15, 1996.
- e. DOE Order 200.1, “Information Management Program,” September 30, 1996.

2.2 References

- a. *Code of Federal Regulations*, Title 10, Part 71, “Packaging and Transportation of Radioactive Material,” as amended.
- b. *Code of Federal Regulations*, Title 40, Part 263, “Standard Applicable to Transporters of Hazardous waste,” as amended.
- c. *Code of Federal Regulations*, Title 41, Part 102-117, “Transportation Management,” as amended.
- d. *Code of Federal Regulations*, Title 49, Parts 100-180 as applicable, “Hazardous Materials Regulations,” as amended.
- e. *Code of Federal Regulations*, Title 49, Parts 40 and 353-399 as applicable, “Federal Motor Carrier Safety Regulations,” as amended.

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 2 of 24

2.3 Acronyms

CFR	Code of Federal Regulations
CMV	Commercial Motor Vehicle
CT	Cargo Tank
DOE	U.S. Department of Energy
DOT	U.S. Department of Transportation
DVIR	Driver Vehicle Inspection Report
EPA	U.S. Environmental Protection Agency
FMCSA	Federal Motor Carrier Safety Administration
FMCSR	Federal Motor Carrier Safety Regulations
HAZMAT	Hazardous Materials
HOS	Hours of Service
HRCQ	Highway Route Controlled Quantities
MCEP	Motor Carrier Evaluation Program
NTP	DOE National Transportation Program
NTP-A	DOE National Transportation Program-Albuquerque
OOS	Out of Service
OSHA	Occupational Safety and Health Administration
RSPA	Research and Special Programs Administration
SEA	Safety Evaluation Area

2.4 Definitions

MCEP NTP-A Program Manager: Provides functional oversight and approval of MCEP activities; defines policy; determines procedures; directs funding allocation; controls the dissemination of information from the evaluation process to the field; schedules onsite evaluations, ensures that evaluators (MCEP Team Members) are both qualified and instructed in the MCEP process, and acts as the point-of-contact for the DOE Suspending/Debarring official.

MCEP Contractor Program Manager: Provides day-to-day support of MCEP activities under the direction of the NTP-A Program Manager.

MCEP Contractor Program Lead: Ensures initial carrier screening is performed; initiates contact with carriers; ensures accuracy of documentation received from carriers and distribution of information submitted to NTP-A; and evaluates information on carrier performance metrics received in any of the three stages of the MCEP process.

MCEP Team Member: Individuals qualified by experience and/or instructed to participate in the MCEP process as evaluators in any of the initial carrier screening, onsite evaluation, or carrier monitoring stages.

Truckload (TL): For the purposes of this program, any shipment of 10,000# or greater tendered to a carrier at one time, on one bill of lading, will be considered a Truckload (TL) shipment.

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 3 of 24

Less-Than-Truckload (LTL): For the purposes of this program, any shipment weighing less than 10,000#, tendered to a carrier at one time, on one bill of lading, will be considered a Less-Than-Truckload (LTL) shipment.

3. GENERAL

Carriers will be selected for initial carrier evaluation:

- Upon request by a site or a DOE Field Office (at NTP-A direction)
- Prior to utilization following signing of a contract with DOE or a DOE contractor (if the carrier has not been previously evaluated by the MCEP)

Carriers will be informed that either refusal to participate in an evaluation or failure to comply with the request for documentation will result in a recommendation of nonuse for the movement of DOE-owned radioactive materials and hazardous waste.

In every instance where external documentation is obtained that may reflect on a carrier's ability to be approved or to remain approved under the MCEP, copies of such documentation will be provided to the carrier for the carrier's information and response.

New carriers need not be evaluated prior to bidding on a task. However, after a task and scope of work are awarded, a carrier must be successfully evaluated before it is permitted to transport DOE-owned materials identified in DOE Order 460.2.

4. PROCEDURE

- Contractor Program Manager or Contractor Program Lead receives request for MCEP from DOE and/or Contractor Traffic Manager and approval by NTP-A Program Manager.
- Contractor Program Lead obtains SafeStat and SAFER reports on the requested carrier.
- Contractor Program Lead will perform an initial review of the SafeStat and SAFER reports and determine if the carrier meets all of Initial Screening Process Step 1 in Attachment F "DOE Mandatory Initial Screening Criteria".
- If all of the initial screening criteria in Step 1 of Attachment F have been met, the Contractor Program Lead will make initial contact with the carrier by direction of NTP-A Program Manager and send an Initial Carrier Contact Letter (Attachment E) along with the MCEP Carrier Identification Report (Attachment B), List of Requested Documents (Attachment C), and Carrier Evaluation Questionnaire (Attachment D). If any of the criteria has not been met, skip to 4h.
- Contractor Program Lead orders SafetyNet report and any financial reports (i.e. Dun & Bradstreet or EdgarScan) on the carrier
- Once all documents in 4d and 4e have been received, Contractor Program Lead in concert with NTP-A Program Manager will perform a review and determine if the carrier meets all of Initial Screening Process Step 2 in Attachment F "DOE Mandatory Initial Screening Criteria".

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 4 of 24

- g. If all of the initial screening criteria in Step 2 of Attachment F have been met, proceed to procedure NTP-A-MCEP.002.
- h. Note: If any of the criteria in Attachment F have not been met, then a letter is sent to the carrier and requesting DOE Field Office, Contractor and/or NTP-A stating reason why the carrier did not complete the initial screening stage. The carrier will be requested to provide additional data or will be removed from consideration.
- i. Attachment A contains a flow diagram depicting the overall work process associated with this procedure.

5. RECORDS

Records generated as a result of this procedure are to be identified, classified, and prepared in accordance with DOE Order 200.1, and managed in compliance with the requirements specified in DOE Guidance 200.1. At minimum, the following are to be considered Quality Assurance records:

SafeStat Report
SafetyNet Report
MCEP Carrier Identification Report
Carrier Evaluation Questionnaire
SAFER Report
Dun & Bradstreet Report (as applicable)
Securities and Exchange Commission Report(s) (as applicable)
Initial Carrier Contact Letter

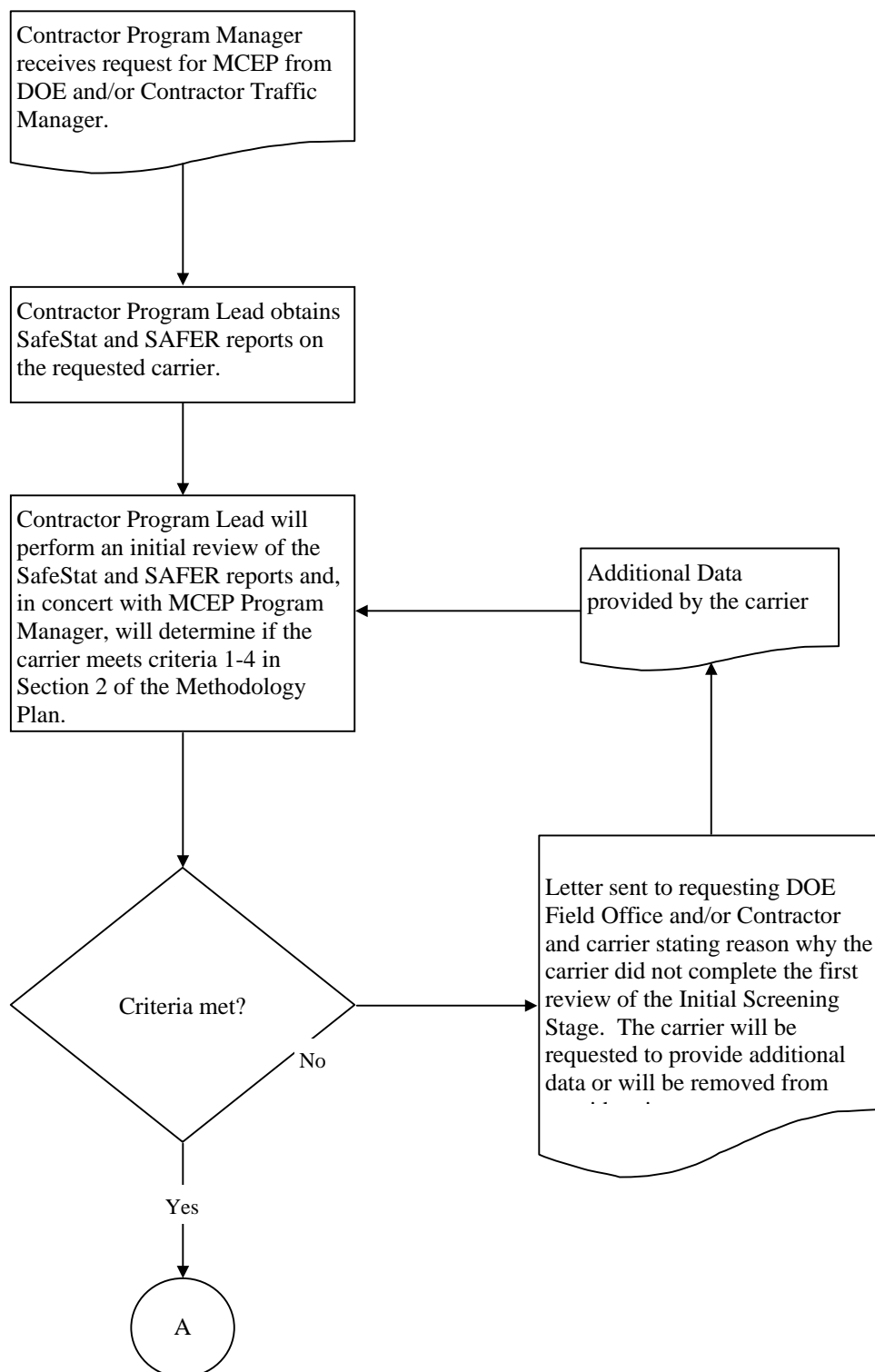
6. ATTACHMENTS

Attachment A Initial Carrier Screening Process Flow Diagram
Attachment B - MCEP Carrier Identification Report
Attachment C - List of Requested Documents
Attachment D - Carrier Evaluation Questionnaire
Attachment E - Initial Carrier Contact Letter (Example)
Attachment F - DOE Mandatory Initial Screening Criteria

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 5 of 24

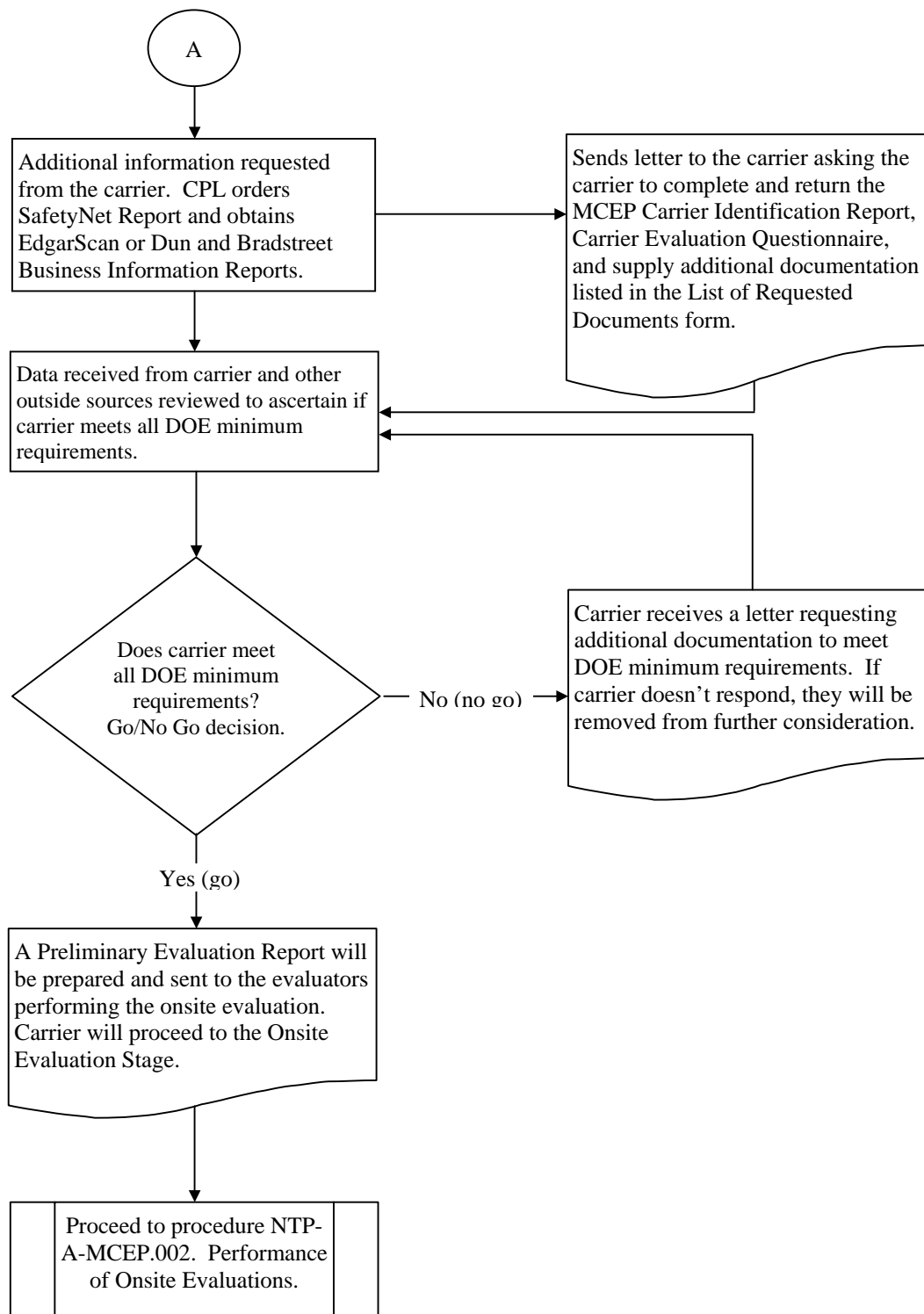
Attachment A

Initial Carrier Screening Process Flow Diagram



Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 6 of 24

Attachment A (cont.)
Initial Carrier Screening Process Flow Diagram



Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening

Procedure No:

NTP-A-MCEP.001

Revision No:

8

Date:

November 2004

Page:

Page 7 of 24

Attachment B
MCEP Carrier Identification Report

MCEP Carrier Identification Report									
1. Name of Motor Carrier/HM Shipper					2. Trade or D.B.A. (Doing Business As) Name				
3. Street Address					4. Mailing Address (P.O. Box)				
5. City	6. State/Province	7. Zip Code + 4	8. Mailing City	9. State/Province	10. Zip Code + 4				
11. Principal Phone Number		12. Principal FAX Number		13. Contact Name and Phone Number					
14. USDOT No.		15. MC or MX No.		16. Dun & Bradstreet No.		17. SCAC Code		18. Internet email Address	
19. Current Mileage Year			20. Mileage – Previous Year Year			21. Mileage – 2 yrs Previous Year			
22. Current Bankruptcy Filing <input type="checkbox"/> Yes <input type="checkbox"/> No Type of Filing State and Date of Filing						23. IRS/Tax ID # EIN # SS #			
24. Type of Carrier (Circle all that apply)									
A. Less Than Truckload		B. Truckload		C. Transcontinental		D. Regional			
E. Local		F. For-Hire Carrier		G. Private Carrier					
25. Cargo Classifications (Circle All That Apply)									
General Freight		Hazardous Materials		Bulk Packages		Radioactive Materials		DOE Classified Materials	
26. Hazardous Materials Carried									
<div style="display: flex; flex-wrap: wrap;"> <div style="width: 33%;"> <input type="checkbox"/> Class 1 Explosives <input type="checkbox"/> Div 1.1 <input type="checkbox"/> Div 1.2 <input type="checkbox"/> Div 1.3 <input type="checkbox"/> Div 1.4 <input type="checkbox"/> Div 1.5 <input type="checkbox"/> Div 1.6 <input type="checkbox"/> Class 2 Gases <input type="checkbox"/> Div 2.1 <input type="checkbox"/> Div 2.2 <input type="checkbox"/> Div 2.3 </div> <div style="width: 33%;"> <input type="checkbox"/> Class 3 Flammable Liquids <input type="checkbox"/> Class 4 Flammable Solids <input type="checkbox"/> Div 4.1 <input type="checkbox"/> Div 4.2 <input type="checkbox"/> Div 4.3 <input type="checkbox"/> Class 5 Oxidizers <input type="checkbox"/> Div 5.1 <input type="checkbox"/> Div 5.2 <input type="checkbox"/> Class 6 Toxic Materials <input type="checkbox"/> Div 6.1 <input type="checkbox"/> Div 6.2 </div> <div style="width: 33%;"> <input type="checkbox"/> Class 7 Radioactive Materials <input type="checkbox"/> Low specific activity <input type="checkbox"/> Surface-contaminated object <input type="checkbox"/> Type A <input type="checkbox"/> Type B <input type="checkbox"/> Highway route controlled quantity <input type="checkbox"/> Class 8 Corrosive Materials <input type="checkbox"/> Class 9 Misc. Hazardous Materials <input type="checkbox"/> Wastes <div style="display: flex;"> <div style="width: 50%;"> <input type="checkbox"/> Low Level <input type="checkbox"/> High Level <input type="checkbox"/> Mixed <input type="checkbox"/> Hazardous </div> <div style="width: 50%;"> <input type="checkbox"/> Fissile <input type="checkbox"/> Transuranic waste <input type="checkbox"/> Polychlorinated biphenyls <input type="checkbox"/> Spent reactor fuel </div> </div> </div> </div>									

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening

Procedure No:
NTP-A-MCEP.001

Revision No:
8

Date:
November 2004

Page:
Page 8 of 24

Attachment B (cont.)
MCEP Carrier Identification Report

27. EPA Transporter Registration No. _____	28. RSPA Hazmat Registration No. (include current copy of certificate) Reg. No. _____ Expiration Date _____		29. Liability Insurance Coverage (include current copy of MCS-90 and Accord Form) Amount _____ Expiration Date _____	
30. Equipment	Owned	Leased		Owner/Operator
Straight Trucks				
Truck/Tractors				
Van Trailers				
Flatbed Trailers				
Cargo Tank Trailers	Dry Liquid	Dry Liquid	Dry Liquid	
Dump Trailers				
Roll On/Roll Off Trailers				
Intermodal Waste Boxes				
Specialized Equipment (i.e. containment floors, etc.)				
Other (Specify)				
31. Drivers Subject To FMCSR:				
Union _____ Non-Union _____ Owner/Operators _____				
100-Mile Radius _____ Total Drivers _____ Total CDL Drivers _____				
Completed by: _____ Title: _____				
Date: _____				

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 9 of 24

Attachment C
List of Requested Documents

LIST OF REQUESTED DOCUMENTS

- A. Completed Copy of Carrier Evaluation Questionnaire and Motor Carrier Identification Report (MCIR)
- B. Copy of Operating Authorities
- C. Copy of Alcohol Misuse/Controlled Substance Use Policies/Procedures
- D. Interstate Commerce Commission Form M, Securities and Exchange Commission Form 10K Report, or Most Current Income Statement and Balance Sheet
- E. Organization Chart
- F. Carrier Quality Assurance Program
- G. Brief History of the Company
- H. Hazardous Materials (HAZMAT) Employees Training Program
- I. List of all identified HAZMAT employees by category or by training requirements
- J. Emergency Response Procedures/Plan
- K. Copy of Driver's Safety Awards Program & Disciplinary Policy
- L. Copy of the Maintenance Program
- M. Policy on maintaining and auditing Drivers' Record of Duty Status
- N. Complete copy of most recent DOT Compliance Review
- O. Copy of Employee Hiring Policies
- P. Copy of Confined Space Entry Policy and Procedures (if applicable)
- Q. Copy of American Society of Mechanical Engineers (ASME) Board "R" Stamp (if applicable)
- R. Copy of your letter to Research and Special Programs Administration (RSPA) requesting a Cargo Tank (CT) number (if applicable)
- S. Copy of the letter from RSPA with the CT number (if applicable)

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 10 of 24

Attachment D

Carrier Evaluation Questionnaire

The following questions are designed for use in validating specific policies, procedures, programs, and information regarding the carrier's performance during the onsite portion of the entire evaluation process. These questions help to identify important issues to DOE and most are considered mandatory requirements for the carrier to meet in order to be an "approved" carrier. The carrier must complete and return this questionnaire as a part of the initial screening process. Completion of this questionnaire will provide the MCEP Program Lead with initial information concerning the carrier. This will give an indication of specific areas of interest to look at during the carrier's onsite evaluation. The MCEP Program Lead will provide this information to the team members completing the onsite evaluation.

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 11 of 24

Carrier Evaluation Questionnaire

General Information

Evaluation Date: _____

Carrier Name: _____

Address: _____

Telephone Number: _____ Fax Number: _____

Web site Address: _____

Incident Response Telephone Number: _____

Parent Company (if applicable): _____

Address: _____

Telephone Number: _____ Fax Number: _____

DOT MC Number: _____

Canadian Provincial Permits: ☐ No ☐ Yes (obtain copies)

Mexican Authority: ☐ No ☐ Yes (obtain copies) ☐ Interline (with whom)

General Question Section

1. Are Policies/Procedures uniform throughout the companies facilities? ☐ Yes ☐ No

2. What is the company's operating ratio for the past three years?

Current Year _____ Previous Year _____ Next Previous Year _____

3. What is the carrier's assets to liabilities ratio? _____

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 12 of 24

Freight Claims and Pending Litigation Section

4. If applicable, what is the carrier's freight claims ratio? _____
- Number of claims per thousand shipments? _____
- Percentage relationship of claims to line haul revenue? _____
5. What percentages of the carrier's freight claims are paid within 30 days? _____
6. Does the carrier have an "automatic" pay amount for freight claims? ☐ Yes ☐ No
7. Is the carrier a party to any pending or enforcement activities by regulatory agencies? (i.e., DOT, EPA, OSHA, State or local governments, etc.)
- ☐ No ☐ Yes, explain: _____
- _____
- _____

Carrier Safety

8. Explain where and how the carrier maintains records of accidents to meet the requirements of 49 CFR 390.15?
- _____
- _____
9. Does the carrier maintain a review board to investigate accidents?
- ☐ No ☐ Yes (title of board members) _____
- _____
10. Does the carrier maintain a review board to ascertain the preventability of accidents of incidents?
- ☐ No ☐ Yes (title of board members) _____
- _____
11. Does the carrier have a Safety Department/Organization?
- ☐ No ☐ Yes

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 13 of 24

12. Name and title of those responsible for compliance in the following areas:

EPA: _____

FMCSR: _____

HMR: _____

Training: _____

Risk Management: _____

13. Are current copies (as applicable) of 10 CFR, 29 CFR, 40 CFR and 49 CFR available to employees of the carrier? ☐ No ☐ Yes, verify Format: _____

14. What is the frequency of ongoing regularly scheduled safety meetings?

☐ Weekly ☐ Monthly ☐ Semi-annually ☐ Annually ☐ Other _____

15. Describe the system used to document a driver's participation in the regularly scheduled safety meetings? _____

Emergency Response and Spill Prevention and Control

16. Does the carrier maintain a capability to respond to emergency situations while trailers, loaded with hazardous materials, are en route?

☐ In-house capability ☐ Third-party capability (with whom): _____

17. How does the carrier verify appropriate emergency response information is accompanying all hazardous materials shipments (49 CFR 172.602)? _____

18. Has the carrier developed written procedures for spill prevention and control?

☐ No ☐ Yes

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 14 of 24

19. The carrier is equipped to handle spill remediation and damaged containers at its terminals or on its vehicles when transporting HAZMAT en route?

☐ No ☐ Yes, how _____

Carrier Equipment Profile

20. What criteria does the carrier use to determine equipment replacement?

Tractors: _____
 Trailers: _____
 Owner/Operators: _____

21. What types of communication devices are installed in the carrier's equipment?

☐ CB Radio ☐ Satellite ☐ Telephone (mobile or cellular)
☐ Two-way Radio ☐ Pagers ☐ Others

22. Does the carrier utilize onboard equipment to monitor driving habits and equipment use?

☐ No ☐ Yes, explain: _____

Operations/Customer Service Section

23. How does the carrier inform the shipper or receiver when pickup or delivery times will not be met?

24. Explain the carrier's ability to trace or track shipments in transit. _____

25. Explain the dispatch function. _____

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 15 of 24

26. Does the dispatch function have the ability to lock out drivers or equipment that are not in compliance (HOS or OOS)? _____

27. Is the carrier involved in any intermodal programs? ☐ No ☐ Rail ☐ Vessel

28. What special services may be offered by the carrier?

- ☐ Drivers with DOE security clearances (L, Q, etc...)
- ☐ Team drivers
- ☐ Call-in services

29. What Electronic Data Interchange (EDI) capability does the carrier have? _____

30. Does the carrier participate in Electronic Funds Transfer (EFT)?

- ☐ No ☐ Yes

Drivers Section

31. Does the carrier's employee hiring policy include:

- ☐ Check gaps in employment
- ☐ Frequent job shifts or changes
- ☐ All names (aliases) used by the applicant
- ☐ Applications completed in person, by the applicant, at the facility
- ☐ Type of military discharge
- ☐ Verify U.S. Citizenship
- ☐ Verify appropriate papers on file for alien applicants
- ☐ Present or prior residence information
- ☐ Personal references
- ☐ Criminal history
- ☐ Other _____

33. What is the carrier's driver turnover ratio for the past three years?

Current Year _____ Previous Year _____ Next Previous Year _____

34. What is the carrier's hiring process and minimum qualifications for driver applicants (49 CFR 391.11)? _____

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 16 of 24

35. What type of background checks does the carrier perform on potential drivers?

☐ Former Employer ☐ Criminal ☐ Citizenship ☐ Financial ☐ Other _____

36. Does the carrier observe or survey drivers' performance while operating equipment?

☐ No ☐ Yes, explain _____

37. Does the carrier have and enforce a written policy regarding drivers placed "out-of-service" who operate the vehicle before coming into compliance (jumping)?

☐ Yes ☐ No, why _____

Training

39. How does the carrier ensure that drivers are instructed in, and are knowledgeable of the Hazardous Materials Regulations per 49 CFR, Part 172.700? _____

40. How does the carrier provide recurrent training in Hazardous Materials regulations? _____

41. What is the format of instruction used for Hazmat training?

☐ Classroom ☐ Video ☐ Audio tape ☐ Newsletters
☐ Read and Sign ☐ Computer-based training ☐ Other _____

42. How does the carrier ensure that drivers are instructed in, and are knowledgeable of the Federal Motor Carrier Safety Regulations (FMCSR)? _____

43. How does the carrier provide recurrent training in FMCSR regulations? _____

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 17 of 24

44. What is the format of instruction used for FMCSR training?

- ☐ Classroom
 ☐ Video
 ☐ Audio tape
 ☐ Newsletters
☐ Read and Sign
 ☐ Computer-based training
 ☐ Other _____

45. Has the carrier developed a program to instruct its drivers on the proper use of personal protective equipment (PPE)?

- ☐ Yes
 ☐ No

46. Are drivers trained in emergency response actions?

- ☐ Yes
 ☐ No

47. Are all HAZMAT employees subject to the carrier's Security Plan requirements (49 CFR 172.800) trained to the Security Plan?

- ☐ Yes
 ☐ No

Maintenance of Equipment

48. How does the carrier verify that drivers conduct pre-trip and post-trip vehicle inspections?

49. How are the carrier's maintenance capabilities carried out?

- ☐ In-house
 ☐ Third-party

50. Are drivers authorized to make repairs on equipment?

- ☐ No
 ☐ Yes, (what types) _____

Physical Security

51. Has the carrier developed and implemented a Security Plan to address at-risk commodities or transportation routes?

- ☐ Yes
 ☐ No

52. Has the carrier developed and implemented a Security Plan per DOT 49 CFR 172.800 as applicable to the commodities being shipped?

- ☐ Yes
 ☐ No

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 18 of 24

53. Does the carrier have a formal Security Department/Organization?

☐ Yes ☐ No

54. Can the carrier demonstrate the risk model used in the development of the Security Plan?

☐ Yes ☐ No

55. Does the carrier's Security Plan cover the following items:

- ☐ Personal security
- ☐ Hazardous materials and package control
- ☐ En Route security
- ☐ Plant or facility security
- ☐ Technical innovations
- ☐ Management prerogatives
- ☐ Communications

56. Does the carrier include security in all decision-making processes?

☐ Yes ☐ No

57. Does the carrier conduct security spot checks of personnel and vehicles?

☐ Yes ☐ No

58. Does the carrier have appropriate access controls for the type of materials being stored/shipped?

☐ Yes ☐ No

59. Is there adequate lighting/security in hazardous materials storage areas?

☐ Yes ☐ No

60. Does the carrier have a policy for ensuring vendor/shipper legitimacy?

☐ Yes ☐ No

61. Does the carrier maintain and implement security training for employees that includes:

- ☐ Company security objectives
- ☐ Specific security procedures
- ☐ Employee responsibilities
- ☐ Organizational security structure

62. How does the carrier distribute security messages to employees?

☐ Newsletters ☐ Bulletin boards ☐ Safety Meetings

☐ Other _____

63. Is there a specific frequency to the distribution of the security messages?

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 19 of 24

☐ Weekly
 ☐ Monthly
 ☐ Semi-annually
 ☐ Annually
 ☐ Other _____

64. Does the carrier have a lock policy/procedure?

☐ Yes
 ☐ No

65. Does the carrier have an access control policy/procedure?

☐ Yes
 ☐ No

66. Does the carrier have a policy to minimize stops with the shipment is en route?

☐ Yes
 ☐ No

67. Does the carrier have a policy to address the use of escorts or guards for specific shipments of hazardous materials?

☐ Yes
 ☐ No

68. Has the carrier installed or are you considering the installation of advanced tracking technology for tractors and trailers?

☐ Installed (i.e. satellite tracking, hot buttons, coded engine starting procedures, etc)

☐ Tractors _____

☐ Trailers _____

☐ Considering installation

69. What communication systems have been installed to enhance the flow of information between driver, carrier, shipper and receiver?

70. Identify the precautions the carrier has taken to prevent vandalism or theft within its facilities and while shipment of hazardous materials are en route?

Facilities:	<input type="checkbox"/> Gates, manual or electric	<input type="checkbox"/> Perimeter fencing
	<input type="checkbox"/> Lighting	<input type="checkbox"/> 24-hour operation
	<input type="checkbox"/> Security guards	<input type="checkbox"/> Animals (i.e., dogs, etc.)
	<input type="checkbox"/> Cameras	<input type="checkbox"/> Other

En route:	<input type="checkbox"/> King pin locks	<input type="checkbox"/> Valve locks
	<input type="checkbox"/> Team drivers	<input type="checkbox"/> Other

Hazardous Materials

71. How many years experience does the carrier/staff have transporting the following commodities?

Carrier	Staff
---------	-------

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening

Procedure No:

NTP-A-MCEP.001

Revision No:

8

Date:

November 2004

Page:

Page 20 of 24

Hazardous materials? _____

Radioactive materials? _____

Hazardous waste? _____

72. What percentage of the carrier's business is composed of hazardous materials shipments?

_____ %

73. Beside hazardous materials training, does the carrier have any additional requirements for those drivers transporting hazardous materials in contrast to general commodity drivers?

74. Does the carrier provide equipment and training to handle damaged containers and/or spill cleanup?

☐ No ☐ Yes, describe _____

75. Does the carrier contract out/subcontract hazardous material shipments to other carriers?

☐ No ☐ Yes, who _____

76. Does the carrier trip lease hazardous material shipments to other carriers?

☐ No ☐ Yes, who _____

77. Does the carrier have any driver who must comply with the training requirement for Highway Route Control Quantity (HRCQ) shipments (49 CFR 397.101)?

☐ No ☐ Yes, explain _____

78. If transporting HRCQ materials, can the carrier provide a copy of the written route plan required by 397.101(d)?

☐ Yes ☐ No, why _____

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 21 of 24

Waste Carriers

79. Describe the record keeping process for uniform hazardous waste manifests? _____

80. Does the carrier act as a broker for hazardous waste shipments?

☐ No ☐ Yes, explain _____

81. Does the carrier interline hazardous waste shipments?

☐ No ☐ Yes, explain _____

82. Does the carrier accept shipments of hazardous waste from brokers?

☐ No ☐ Yes, explain _____

Carriers Transporting Hazardous Materials in Bulk

83. Does the carrier clean its own cargo tank equipment onsite?

☐ No ☐ Yes

84. Are procedures established for the following cleaning methods, if used:

Steam Cleaning? ☐ Yes ☐ No

Hot Water Cleaning? ☐ Yes ☐ No

Solvent Cleaning? ☐ Yes ☐ No

85. Does the carrier have its cargo tanks cleaned by an independent third party?

☐ Yes ☐ No

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 22 of 24

86. Does the carrier have a process to qualify independent cargo tank cleaning facilities?

☐ Yes ☐ No

87. Is there a written policy to ensure that the loading and unloading responsibilities of a driver and shipper/receiver are documented?

☐ Yes ☐ No

88. Does the carrier utilize third party DOT registered facilities for cargo tank tests, inspections, and repairs?

☐ Yes ☐ No

89. Has the carrier received a copy of the third parties registration number identification from DOT?

☐ Yes ☐ No

90. How does the carrier perform inspections and re-testing of the bulk packages under its control?

91. What are the qualifications/certifications of the persons or organizations performing inspection, repairs, and re-testing functions?

92. List all exemptions for bulk packaging the carrier currently holds or is a party to. If more than what the space below allows, please provide a list.

Exemption

Expiration Date

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 23 of 24

Attachment E

Initial Carrier Contact Letter (Example)

(Name and Title of Carrier Point of Contact)

Name *(carrier)*

Address

City, State, Zip

Dear *(Name of Carrier Point of Contact)*:

Re: U.S. DEPARTMENT OF ENERGY MOTOR CARRIER EVALUATION PROGRAM

Per our conversation of *(date)*, I would like to thank you for the opportunity to evaluate *(Carrier)* on behalf of the U.S. Department of Energy (DOE), National Transportation Programs–Albuquerque (NTP–A), Motor Carrier Evaluation Program (MCEP).

The purpose of this program is to ensure that only those that are highly qualified are utilized to transport commodities for DOE and its contractors, especially hazardous materials including radioactive materials and hazardous waste.

To evaluate your carrier operations and management systems fully, it will be necessary for you to complete and return the MCEP Carrier Identification Report (CIR), Carrier Questionnaire and the items identified on the enclosed List of Requested Documents by *(two weeks from date of letter)*. Please return to:

(Name and address of individual to receive carrier submitted information).

When all of the requested information is returned, the evaluation team will review the materials. If any carrier is unable to meet the minimum requirements, they will be contacted regarding any incomplete or unavailable data. It should be noted that refusal either to participate in an evaluation or to supply the requested documentation well result in a recommendation of nonuse for the transportation of DOE-owned radioactive materials and hazardous waste.

This evaluation/validation process also will provide your company with specific information about DOE NTP–A's expectations for those carriers selected to transport DOE-owned radioactive materials and hazardous waste. If you have any questions regarding the MCEP, completing the MCEP CIR, Carrier Questionnaire, or the possibility of an onsite visit, please contact me at *(number of person signing the letter)* or *(name of individual)* of my staff, at *(phone number)*.

Sincerely,

(Signature and Title)

Enclosures

Title: Requirements for MCEP NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening			
Procedure No: NTP-A-MCEP.001	Revision No: 8	Date: November 2004	Page: Page 24 of 24

Attachment F

DOE Mandatory Initial Screening Criteria

All responses to the questions should be “Yes” with the exception of question 8, which should be answered “No.” If the answer to question 8 is “Yes” and the bankruptcy is filed under Chapter 11, carrier eligibility will be determined on a case-by-case basis.

DOE Mandatory Screening Criteria	Meets requirements	
	YES	NO
Initial Screening Process Step 1		
1. The carrier must not have a "Conditional" or "Unsatisfactory" safety rating.		
2. All SEA values must be below 65:		
a. Driver SEA.		
b. Vehicle SEA.		
c. Safety Management SEA.		
Initial Screening Process Step 2		
3. USDOT identification number.		
4. RSPA HAZMAT registration number (if applicable).		
5. EPA Registration number (if applicable).		
6. Correct amount of liability insurance coverage for the volume and types of commodities transported.		
7. Copy of completed MCS-90 and Accord form.		
8. Has the carrier filed a bankruptcy petition within the past 12 months (correct response should be NO).		
9. Copy of Completed MCIR, Carrier Questionnaire and all items on List of Requested Documents, as applicable to the carrier.		